



## UTAH DBE NEWSLETTER

(Published by: UDOT & SLCDA)

FALL 2005

### OPPORTUNITIES FOR DBE'S

US DOT Short Term Lending Program (STLP) provides qualified DBE's with access to short-term working capital at prime interest rates for transportation-related projects. The STLP provides revolving lines of credit to finance accounts receivable and other short-term costs of performing contract's. The primary collateral consists of proceeds of the contract.

There are only six banks that participate in this program in the U.S. If a DBE is interested in this program, the application is available on line (see below) with instructions. The loan process takes about six weeks for approval/disapproval.

[Http://osdbuweb.dot.gov/mrc\\_services/shortTermLendingProgram.cfm](http://osdbuweb.dot.gov/mrc_services/shortTermLendingProgram.cfm)

#### UPCOMING EVENT:

4th Annual Women & Minority Entrepreneurial Conference, September 10, 2005 (8:30 a.m. to 1:30 p.m.), at the Salt Lake Chamber.

This event is sponsored by the Multi-Ethnic Business Committee & the Women's Business Center.

#### Agenda Items:

- Success Stories
- Workshops
- Networking
- Business Resources

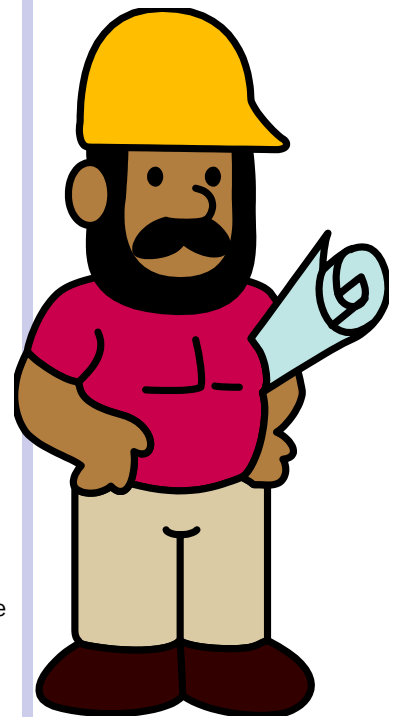
#### Workshops include:

- Starting a Business
- Government Contracting (State & Federal)
- Marketing
- Financing

SBA will present the 8(a) Contractor of the year award and the Multi-Ethnic Business Committee will give the Visionary Award, followed by remarks from Salt Lake Co. Mayor Peter Corroon.

Cost: \$35.00, includes breakfast and lunch.

email: [zxiano@saltlakechamber.org](mailto:zxiano@saltlakechamber.org) or call Zee at 801-957-2027.



**FOR BIDDING OPPORTUNITIES SEE PAGES 3, 4, 6**

#### Special points of interest:

- US DOT Short Term Lending Program
- Bidding opportunities: UTA pg 3, SLCDA pg 4, UDOT pg 6
- New DBE Airport Concession Rules
- DBE Annual Goal Setting
- helpful instructions on Personal Net Worth Form
- UDOT Safety Article

## **ANNUAL DBE GOALS FEDERAL FISCAL "2006" (Oct. 1st thru Sept 30th)**

### **UDOT**

UDOT's Proposed Overall DBE Goal for FY2006 is 8.3% (4.4% Race Conscious and 3.9% Race Neutral participation). Go to the following Civil Rights web address to view the methodology. Comments are being accepted.  
<http://www.udot.utah.gov/index.php/m=c/tid=198>

### **UTA**

UTA's Proposed Overall DBE Goal for FY2006 is 12.2% (9.0% Race Conscious and 3.2% Race Neutral participation). The goal was available for public comment from June 1 thru 15, 2005 and was submitted to FTA for approval on July 30, 2005. (Continued on pg 3)

### **SLCDA**

#### **NEW PART 23 (AIRPORT CONCESSION) RULE:**

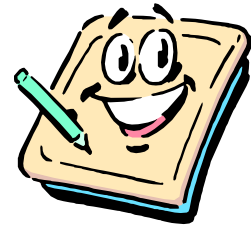
- SLCDA must submit a ACDBE Program and new goals to the FAA by January 1, 2006. (Continued on pg 5)

## **TRAINING OPPORTUNITIES FOR DBE'S**

The UDOT Civil Rights Department holds Labor/EEO/DBE training on an as needed basis. If you are in need of training in these areas or would just like to sit in on a refresher course, please call or e-mail Jane Casper 965-4740 [jcasper@utah.gov](mailto:jcasper@utah.gov), or Beverly Crawford 965-4100 [bcrawford@utah.gov](mailto:bcrawford@utah.gov). We would be glad to schedule a date.

The Annual DBE and Prime Contractor Training will take place in January or February of 2006 (dates and times are yet to be determined). We would like to have some feedback from the DBEs on what topics they would like discussed.

Please give us your input by contacting either Paul Marshall, 575-2945 [paul.marshall@slc.gov](mailto:paul.marshall@slc.gov), or Beverly Crawford 965-4100 [bcrawford@utah.gov](mailto:bcrawford@utah.gov)



## **REALLY GREAT WEB SITES**

IRS Small Business and self-employed one stop resource.  
<http://www.irs.gov/businesses/small/>

SBA Women's Business Center  
<http://saltlakecity.about.com/gi/dynamic/offsite.htm?site=http%3A%2F%2Fwww.onlinewbc.gov%2F>

Office of Small and Disadvantaged business Utilization  
<http://osdbu.dot.gov/>



### DBE Progress Report

FY2005 UTA Overall DBE Goal – 8.69%

For FY2005 (October 1, 2004 to September 30, 2005) UTA set an overall DBE goal on federally assisted projects, a goal of 8.69% to be spent with DBE firms. At mid year, based upon qualifying funds of \$28.33 million spent, UTA has reached an overall participation of \$2.33 million:

- Mid year DBE goal progress report (based upon payments) –

<u>Goal</u>	<u>RC</u>	<u>RN</u>
8.69%	6.0%	2.69%
<u>Mid Year</u>	<u>RC</u>	<u>RN</u>
8.23% (\$2,338,295)	6.60%	1.63%

\* RC – race conscious, RN – race neutral

UTA recently submitted its FY2006 Overall DBE goal to the Federal Transit Administration for approval on July 28, 2005. UTA prepared its goal based upon federal regulations and held a public comment period from June 1<sup>st</sup> through July 15<sup>th</sup>. UTA is proposing an overall DBE goal of 12.2% of federal assistance on its projects to be spent with DBE firms. UTA received input and opinions on its overall DBE goal from several organizations; Provo Women's Business Group, the Utah Hispanic Chamber of Commerce, the Utah Coalition of La Raza and the Utah Women's Alliance for Building Community.

### Weber County to Salt Lake City Commuter Rail

On August 30, 2005, UTA had a ground breaking ceremony to officially signal the beginning of construction of Commuter Rail from Salt Lake to Ogden. Construction has actually started in July 2005, with the removal of telephone poles, and excavation work in the 44 mile alignment. UTA is building a commuter rail system from the ground up, versus using existing freight railroad lines. UTA purchased its own right of way within Union Pacific's current alignment from the Salt Lake Intermodal Hub to the Ogden Yard, which includes the Ogden Intermodal Hub. Several new construction "packages" will be advertised starting on September 6, 2005. These items are:

- AC Paving
- Concrete Flatwork (Crossings)
- Hydro seeding
- Striping / Signage
- Mainline Fiber Ductbank

## **SALT LAKE CITY DEPARTMENT OF AIRPORTS BUSINESS OPPORTUNITIES**

### **AIRPORT CONSTRUCTION PROJECTS TO BE BID IN THE NEAR FUTURE:**

1. 400 Hz Power and PC Air - Bid on September 14th
2. Terminal 2 Modifications EDS - Bid on September 21<sup>st</sup>
3. Taxiway H Reconstruction H2 – H4 – Bid opening September 28<sup>th</sup>
4. Protective Bollards (non-AIP) – Opening September 9
5. Taxiway K Resurface---11/30
6. Airport II Apron Reconstruction –11/30
7. Taxiway Centerline Light Trench Reconstruction – 12/14
8. Concourse Apron Rehab –11/16

Projects mentioned above are subject to change at the sole discretion of Salt lake City Department of Airports. Call the Department of Airports Engineering Department at (801) 575-2902 for more information.

### **AIRPORT RFQ/RFPs SCHEDULED TO BID WITHIN THE NEAR FUTURE:**

1. Electrical Engineering RFQ - this fall.
2. Janitorial RFP – this fall.
3. Parking Management RFQ – this fall.

For more details regarding contracting opportunities with Salt Lake City Department of Airports; contact Mr. Cole Hobbs, Contracting Officer, at (801) -575-2984.

Please note there may or may not be a DBE contract goal on any specific contract listed above.

# **SALT LAKE CITY DEPARTMENT OF AIRPORTS**

## **NEW PART 23 (AIRPORT CONCESSION) RULE**

**The new rule became effective April 21, 2005.**

The United States Department of Transportation (USDOT) recently issued its final rule for Airport Concession Disadvantaged Business Enterprises (ACDBE) in the new 49 CFR Part 23. In the new regulation, USDOT has directed airports subject to the rule to submit new goals, new reports, and revised ACDBE Programs to the FAA. Some of the major changes to the Concessions legislation are outlined below.

- Instructs airport staffs to set goals according to the methodology outlined in 49 CFR Part 26 (same methodology used for construction projects).
- Salt Lake City Department of Airports must submit a ACDBE Program and new goals to the FAA by January 1, 2006.
- All currently certified ACDBEs are now required to submit a personal net worth statement with annual updates and during reviews. Personal Net Worth Statements are now required of all that apply for ACDBE certification.
- All current ACDBE certifications must be reviewed by April 21, 2006 or within 3 years of the most recent certification, whichever is later.
- ACDBEs now have an established personal net worth limit of \$750,000. Exclusions include the firm's owner's equity in primary residence, owner's equity in the business, and up to \$3 million for assets the owner can show are necessary to obtain financing to enter or expand a concession business.
- Rental Car Concessions now have a separate goal from other concessions.
- The entire value of the vehicle purchased from an ACDBE may count toward the rental car goal.
- ACDBE vendor goods and services now count toward the participation goal.
- Items purchased from ACDBE regular dealers are counted at 100% value.
- The new legislation applies special restrictions to Joint Ventures.
- Annual ACDBE Participation Achievement Reports are due to the FAA March 1, 2006.

For a copy of the new regulation or for more information, please contact Paul Marshall, DBE Liaison Officer (801) 575-2945.

Liaison Officer, at (801) 575-2945.



## **BID ON UDOT PROJECTS**

UDOT has an electronic bidding program

All of UDOT projects for bid are listed on UDOT's web page:

UDOT'S home page web address: [www.udot.utah.gov](http://www.udot.utah.gov)

Under Popular Topics (on left), click on: Bid on projects

**Each project is listed separately in its own box.**

Also located within each box:

View Notice to Contractors

View Bid Items

Plan Sets

Planholder(s ) List

Project Specifications

Addendas

### **RECEIVE AUTOMATIC E-MAIL NOTIFICATIONS OF UDOT PROJECTS THAT ARE BIDDING:**

The following web site explains how to sign up :

<http://www.udot.utah.gov/index.php/m=c/tid=552>

The following web site is where you sign up.

[http://listserv.dot.state.ut.us/scripts/lyris.pl?join=bid\\_notices](http://listserv.dot.state.ut.us/scripts/lyris.pl?join=bid_notices)

The following web site is where the UDOT projects are located:

<http://www.udot.utah.gov/index.php/m=c/tid=317>

**If you need further assistance with UDOT's electronic bidding process, please call  
Beverly Crawford 965-4100.**



## **UDOT's Work Zone Inspections (Safety Audits)**

By: Pete Negus, UDOT Deputy Construction Engineer

The Work Zone Inspection Team (comprised of the Region Safety and Loss Coordinator, Prime Contractor and a representative of the Resident Engineer), performs the **Work Zone Inspections**, which are also referred to as **Safety Audits**. Work Zone Inspections are performed on a regular basis (usually monthly) throughout the length of a project.

During the inspection, the Work Zone Inspection Team will review the following categories: a) Flagging, b) Guidance through a project, c) Protection, d) Safety. A score of minus one (-1) would be noted for a minor safety infraction and range up to a minus three (-3) for a severe infraction. A numerical score is computed by adding up the point values of the noted infractions and subtracting that value from 100.

Minor infractions noted during the work zone inspection can usually be corrected with minimal changes to procedures and will be noted and the score computed as described above. However, major infractions, those that present serious hazards to on-site workers and or the traveling public, could require work on the project or particular activity be suspended until it can be performed in a safe manner. The score on the work zone inspection would reflect the severity of the infraction and would most likely result in a follow-up inspection the next work day to document the corrective action that was taken.

Copies of the completed work zone inspection are given to the Resident Engineer to be included in the project file and to the prime contractor, who should in turn provide feedback to the subcontractor on the results of the inspection. At the conclusion of the project, the results of all the work zone inspections that were performed on the project are averaged together and the score is entered as part (15 %) of the contractor's performance rating. The contractor's performance rating is then used as part of the formula that determines the prequalification or dollar amount for a particular contractor when they bid on UDOT projects.

UDOT has found that since the initiation of the work zone inspection reviews, the overall safety on UDOT projects has improved dramatically and that most prime contractors and subcontractor are performing work on UDOT projects in a safe manner. However, due to the enormous liability associated with an unsafe work zone, both UDOT and prime contractors cannot afford to allow a subcontractor who consistently works in an unsafe manner to remain on a project. Consequently, a disregard for safety by a subcontractor will jeopardize their ability to be a viable subcontractor on UDOT projects.

Copies of the Work Zone Inspection Policy can be downloaded from the following location: Utah Safety and Health Manual <http://www.udot.utah.gov/index.php/m=c/tid=110/item=6135/d=full/type=1>

Copies of the Contractor's Performance Rating form can be downloaded from the following location: Construction Form C119 <http://www.udot.utah.gov/index.php/m=c/tid=322>

## **PERSONAL NET WORTH HELPFUL INSTRUCTIONS**

By: Beverly Crawford, UDOT DBE Coordinator

Annually, with the UUCP DBE Annual Update package or 3<sup>rd</sup> Year Review package, all owners claiming disadvantaged status must complete a current statement of Personal Net Worth. Many PNW forms come to us incomplete or calculated incorrectly. Because the PNW statement is a legal document, the DBE has a legal requirement to complete the PNW form correctly. The US DOT requires the use of the particular Personal Net Worth Form that is included in the DBE's packet; therefore, the UUCP cannot accept any other form or statement of net worth. (A copy of the Personal Net worth form would not convert to publisher format. If you would like a copy, please e-mail [bcrawford@utah.gov](mailto:bcrawford@utah.gov)).

Below are a few suggestions and some guidance on this topic. The UUCP Administrators (**UTA**: Raymond Christy 287-3537; **SLCDA**: Paul Marshall 575-2945; **UDOT**: Kathi Wilcox 965-4102 or Beverly Crawford 965-4100) would be glad to answer any questions you may have.

The DBE's personal net worth is figured as follows: Assets minus Liabilities, excluding DBE's percent of equity in primary residence and DBE's ownership in DBE firm. **If the DBE is married or jointly owns property with someone, on the first page of the PNW, the DBE should list only his/her percent of the Asset or Liability.**

### **ASSETS**

1. **Cash on hand and in banks**

This is the total amount of cash on hand (if married, it would represent only the DBE's individual percent), which includes funds deposited in financial institutions, both U.S. and foreign. This includes, but is not limited to funds accumulated in savings accounts, checking accounts, certificates of deposit and money market accounts. The DBE should submit documentation such as a copy of bank statements, etc. to justify the figure.

2. **Savings Account**

If included in Cash on hand and in banks (#1) just note that it is.

2. **IRA or other retirement account**

Individual and other retirement accounts including any fund representing an IRA, an employer/employee funded program such as a 401K or any other retirement plan. The DBE would **state the current value of only his or her personal plan** and submit a copy of the retirement account statement to justify the figure.

3. **Accounts & Notes Receivable**

List the DBE's percent of any monies owed him/her personally, such as a promissory note or an I-Owe-You from a friend or relative, and submit a copy.

4. **Life Insurance-Cash Surrender Value Only**

This pertains to cash surrender value of whole life policies. DBE's should contact their insurance company to find out the current cash value of their policy. Complete **Section 8** on page 2 of the PNW, then fill in the value on page one, and submit documentation.



## Personal Net Worth (Continued)

### Page 2

5. **Stocks and Bonds**

Disclose all stocks and bonds owned, market value, etc., including corporate stock. Fill out **Section 3a and 3b** on page two of the PNW then transfer the total sum of percentage owned to the first page. Submit brokerage account statement(s).

6. **Real Estate (all residential and business property)**

Describe all real estate owned in **Section 4** on page 2 of the PNW. Start with the primary residence as Property A. List each parcel separately, e.g., Property B, Property C, etc. If you have more than three properties, please attach a list to the PNW. If the DBE has properties being held in other companies, please include them on your list (this is part of the DBE's personal net worth). A current copy of the property tax assessed market value for each property should be submitted.

7. **Automobile – Present Value**

List the DBE's percentage of ownership in automobiles that are in the DBE's name. This includes personally owned vehicles that are leased or rented to businesses or other individuals. Submit documentation such as lease agreement, titles, or mortgage documents.

8. **Other Personal Property**

Describe in **Section 5** on page 2 of PNW. Please list the value for household goods such as furniture, jewelry, snowmobiles, jet skis, boats, RVs, etc.

9. **Other Assets**

Disclose the existence of other investments and other companies the DBE may have an interest in (if you own at least 5% of another business, you have a qualifying investment. You must provide information on the current market value of your ownership interest in the business(s). Use the most recent financial statement to determine the value of your investment in the business(s). List the name of the investment/business, ownership percent and the current value of your ownership in **Section 5** on page 2 of the PNW. Total and transfer the sum to page one of the PNW.

10. **TOTAL YOUR ASSETS**

## **LIABILITIES**

Must be actual and not a future obligation, and should have a corresponding asset.

1. **Accounts Payable**

Monies owed personally by the DBE, not associated with the DBE firm. Do not include payables listed in other sections. Submit supporting documentation.

2. **Notes payable to banks and others**

The current balances of any personal loans that are paid by the DBE that are not reflected elsewhere in this document and other personal debt guaranteed by the DBE's signature.

Describe the note(s) and amounts in **Section 2** (bottom of page 1 of PNW), then list the total under Notes payable to banks and others. Submit supporting documentation.

3. **Installment Account (Auto)**

This is for automobile only. If the DBE is responsible for more than one installment account for automobiles, list additional automobile accounts and monthly payments on a sheet of paper and note the attachment. Do not include accounts listed in other sections. Submit supporting documentation.

## Personal Net Worth (Continued)

### Page 3

4. **Installment Account (Other)**

List other installment accounts. If more than one, list additional accounts and monthly payments on a separate sheet of paper and note the attachment. Do not include accounts listed in other sections. Submit supporting documentation.

5. **Loan on Life Insurance**

List life insurance company and the current amount owing on loan. Submit supporting documentation.

6. **Mortgages on Real Estate**

Describe in [Section 4](#), page 2 of PNW. Attached an additional sheet if necessary. On page one, list the total percent owned by the DBE. Submit supporting documentation.

7. **Unpaid Taxes**

Describe in [Section 6](#), page 2 of PNW. On page one, list the current amount owed by the DBE for any unpaid taxes, i.e., Federal, State or county property assessments. Submit supporting documentation.

8. **Other Liabilities**

Include the DBE's percentage of any liability not previously accounted for in this statement. Do not include contingent or deferred liabilities. Describe in [Section 7](#), then list the total of DBE's percent on page one. Submit supporting documentation.

9. **TOTAL YOUR LIABILITIES**

### **ASSETS MINUS LIABILITIES = TOTAL NET WORTH**

#### **Deductions:**

49 CFR 26 allows the DBE to subtract the DBE's percent of equity in their primary residence and the DBE's percent of ownership interest in the DBE firm.

### **ASSETS MINUS LIABILITIES, MINUS 49 CFR 26 DEDUCTIONS = DBE's PERSONAL NET WORTH**

#### **Section 1. (Bottom of page 1)**

##### **SOURCE OF INCOME**

1. List the DBE's sources of income. Submit supporting documents such as W2's or 1099.

##### **CONTINGENT LIABILITIES**

2. List DBE's percent of contingent liabilities. Provide supporting documentation.

#### **Section 2. (Bottom of page 1)**

##### **NOTES PAYABLE TO BANKS AND OTHERS.**

1. List DBE's notes payable to banks and others (attach a separate sheet if needed). Provide supporting documentation.

The UUCP may request further documentation/clarification to verify the DBE's figures.



(PUBLISHED BY: UDOT & SLCDA)

Utah Department of Transportation  
Civil Rights, Beverly Crawford, DBE Coordinator  
4501 S. 2700 W.—4th Flr., Box 141520  
Salt Lake City, UT 84114-1520  
(801) 965-4100, bcrawford@utah.gov

Salt Lake City Department of Airports  
Paul Marshall DBE Liaison Officer  
AMF Box 22084, Salt Lake City, UT 84122  
(801) 575-2945, paul.marshall@slcgov.com

**UUCP DBE Directory on the Web!**

[http://www.udot.utah.gov/download.php/  
tid=198/uucp\\_dbe\\_directory.pdf](http://www.udot.utah.gov/download.php/tid=198/uucp_dbe_directory.pdf)